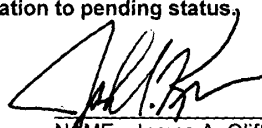


JC10 Rec'd PCT/PTO 11 DEC 2001

|   |  |  |
|---|--|--|
| (1390 REV. 5-93) US DEPT. OF COMMERCE PATENT & TRADEMARK OFFICE   |  | INVENTOR'S DOCKET NUMBER<br>1105                                   |
| <b>TRANSMITTAL LETTER TO THE<br/>UNITED STATES<br/>DESIGNATED/ELECTED OFFICE<br/>(DO/EO/US) CONCERNING A FILING<br/>UNDER 35 U.S.C. 371</b>   |  | U.S. APPLICATION NO.<br>(if known, sec 37 C.F.R.1.5)<br>09/936,040 |
| INTERNATIONAL APPLICATION NO.<br>PCT/GB01/00007   | INTERNATIONAL FILING DATE<br>January 2, 2001 | PRIORITY DATE CLAIMED<br>January 7, 2000                           |
| TITLE OF INVENTION<br>A THIN FILM TRANSISTOR AND A METHOD FOR MANUFACTURING THEREOF   |  |  |
| APPLICANTS FOR DO/EO/US<br>Ichio YUDASAKA, Mitsutoshi MIYASAKA, Piero MIGLIORATO  |  |  |
| Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:   |  |  |
| 1. <input type="checkbox"/> This is a <b>FIRST</b> submission of items concerning a filing under 35 U.S.C. 371.<br>2. <input checked="" type="checkbox"/> This is a <b>SECOND</b> or <b>SUBSEQUENT</b> submission of items concerning a filing under 35 U.S.C. 371.<br>3. <input checked="" type="checkbox"/> This express request to begin national examination procedures (35 U.S.C. 371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. 371(b) and PCT Articles 22 and 39(1).<br>4. <input type="checkbox"/> A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.<br>5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371(c)(2))<br>a. <input type="checkbox"/> is transmitted herewith (required only if not transmitted by the International Bureau).<br>b. <input checked="" type="checkbox"/> has been transmitted by the International Bureau.<br>c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US)<br>6. <input type="checkbox"/> A translation of the International Application into English (35 U.S.C. 371(c)(2)).<br>7. <input checked="" type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))<br>a. <input checked="" type="checkbox"/> are transmitted herewith (required only if not transmitted by the International Bureau).<br>b. <input type="checkbox"/> have been transmitted by the International Bureau.<br>c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.<br>d. <input type="checkbox"/> have not been made and will not be made.<br>8. <input type="checkbox"/> A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).<br>9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).<br>10. <input type="checkbox"/> A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).<br><b>Items 11. to 16. below concern other document(s) or information included:</b><br>11. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.<br>12. <input checked="" type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.<br>13. <input type="checkbox"/> A FIRST preliminary amendment.<br><input checked="" type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.<br>14. <input type="checkbox"/> A substitute specification.<br>15. <input type="checkbox"/> Entitlement to small entity status is hereby asserted.<br>16. <input checked="" type="checkbox"/> Other items or information: Response to Notification of Missing Requirements |  |  |

|  |              |  |            |   |              |
|--|--------------|--|------------|---|--------------|
| U.S. APPLICATION NO. (if known, see 37 CFR 1.5) 09/936,040   |              | INTERNATIONAL APPLICATION NO. PCT/GB01/00007 |            | ATTORNEY'S DOCKET NUMBER 110554   |              |
| 17. <input checked="" type="checkbox"/> The following fees are submitted:<br><br><b>Basic National fee (37 CFR 1.492(a)(1)-(5)):</b><br><br>Search Report has been prepared by the EPO or JPO ....\$860.00<br><br>International preliminary examination fee paid to USPTO (37 CFR1.482) .....\$690.00<br><br>No international preliminary examination fee paid to USPTO (37 CFR 1.482) but international search fee paid to USPTO (37 CFR 1.445(a)(2)) .....\$710.00<br><br>Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO .....\$1,000.00<br><br>International preliminary examination fee paid to USPTO (37 CFR 1.482) and all claims satisfied provisions of PCT Article 33(2)-(4) .....\$ 100.00<br><br><b>ENTER APPROPRIATE BASIC FEE AMOUNT =</b> \$ |              |  |            | CALCULATIONS  | PTO USE ONLY |
|  |              |  |            |   |              |
| Surcharge of \$130.00 for furnishing the oath or declaration later than <input checked="" type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).   |              |  |            | \$130.00  |              |
| Claims   | Number Filed | Number Extra                                 | Rate       |   |              |
| Total Claims   | = 0          |  | X \$ 18.00 | \$  |              |
| Independent Claims   | = 0          |  | X \$ 80.00 | \$  |              |
| Multiple dependent claim(s)(if applicable)   |              |  | + \$270.00 | \$  |              |
| <b>TOTAL OF ABOVE CALCULATIONS =</b>   |              |  |            | \$130.00  |              |
| Reduction by 1/2 for filing by small entity, if applicable.  |              |  |            | -   | \$           |
| <b>SUBTOTAL =</b>  |              |  |            | \$130.00  |              |
| Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 month from the earliest claimed priority date (37 CFR 1.492(f)).  |              |  |            | \$  |              |
| <b>TOTAL NATIONAL FEE =</b>  |              |  |            | \$130.00  |              |
| 12/18/2001 UEDUVIJE 00000146 09936040<br>01 FC:154 130.00 DP   |              |  |            | Amount to be refunded   | \$           |
|  |              |  |            | Charged   | \$           |
| a. <input checked="" type="checkbox"/> Check No. 125760 (\$130) and in the amount of \$130.00 to cover the above fees is enclosed.<br>b. <input type="checkbox"/> Please charge my Deposit Account No. ___ in the amount of \$___ to cover the above fees. A duplicate copy of this sheet is enclosed.<br>c. <input checked="" type="checkbox"/> The Director is hereby authorized to charge any additional fees which may be required, or credit any overpayment, to Deposit Account No. 15-0461. A duplicate copy of this sheet is enclosed.   |              |  |            |   |              |
| <b>NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.</b>   |              |  |            |   |              |
| SEND ALL CORRESPONDENCE TO:<br>OLIFF & BERRIDGE, PLC<br>P.O. Box 19928<br>Alexandria, Virginia 22320   |              |  |            |   |              |
| Date: <u>December 11, 2001</u>   |              |  |            | <br>NAME: James A. Oliff<br>REGISTRATION NUMBER: 27,075 |              |
|  |              |  |            | NAME: John S. Kern<br>REGISTRATION NUMBER: 42,719   |              |

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re the Application of

Ichio YUDASAKA et al.

Attn: PCT Branch

Application No.: 09/936,040

Docket No.: 110554

Filed: January 2, 2001

For: A THIN FILM TRANSISTOR AND A METHOD FOR MANUFACTURING THEREOF

**RESPONSE TO NOTIFICATION OF MISSING REQUIREMENTS  
UNDER 35 U.S.C 371 IN THE UNITED STATES DESIGNATED/  
ELECTED OFFICE (DO/EO/US) WITH DECLARATION**

Director of the U.S. Patent and Trademark Office  
Washington, D.C. 20231

Sir:

In response to the Notification of Missing Requirements Under 35 U.S.C 371 in the United States Designated/Elected Office (DO/EO/US) (copy attached) mailed on October 12, 2001, submitted herewith is the executed Declaration of the inventors. Any specification attached to and referenced in the Declaration is a copy of the specification and any amendments thereto which were filed in the Office in order to obtain a filing date for the application.

Attached is our Check No. 125760 for ☒\$130.00 ☐\$65.00 (entitlement to small entity status is asserted) for the fee under 37 C.F.R. §1.492(e).

|  | (Column 1)                       | (Column 2)                      | (Column 3)    | SMALL ENTITY |           | OR | OTHER THAN A SMALL ENTITY |           |
|--|----------------------------------|---------------------------------|---------------|--------------|-----------|----|---------------------------|-----------|
|  | CLAIMS REMAINING AFTER AMENDMENT | HIGHEST NO. PREVIOUSLY PAID FOR | PRESENT EXTRA | RATE         | ADD'L FEE |    | RATE                      | ADD'L FEE |
| TOTAL CLAIMS   | *18 MINUS                        | **20                            | =0            | x 9          | \$        |    | x 18                      | \$        |
| INDEP CLAIMS   | *4 MINUS                         | ***3                            | =1            | x 42         | \$        |    | x 84                      | \$ 84     |
| <input type="checkbox"/> FIRST PRESENTATION OF MULTIPLE DEP. CLAIM |                                  |                                 |               | + 140        | \$        | OR | +280                      | \$        |
|  |                                  |                                 |               |              | \$        |    |                           | \$ 84     |

\* If the entry in Column 1 is less than the entry in Column 2, write "0" in Column 3.

\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 20, write "20" in this space.

\*\*\* If the "Highest Number Previously Paid For" IN THIS SPACE is less than 3, write "3" in this space.

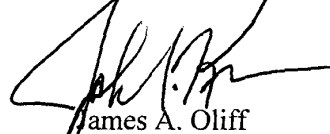
The "Highest Number Previously Paid For" in this space (Total or Independent) is the highest number found from the equivalent box in Column 1 of a prior Amendment or the number of claims originally filed.

☒ Check No. 125773 in the amount of \$84 is attached. The Director is hereby authorized to charge any other fees that may be required to complete this filing, or to credit any overpayment, to Deposit Account No. 15-0461. Two duplicate copies of this sheet are attached.

Entry of these documents should complete all of the filing formalities and fully satisfy all requirements of the Notification of Missing Requirements. Accordingly, prompt issuance of a Notification of Acceptance and Official Filing Receipt, and prompt examination and allowance of this application are respectfully solicited.

The Director is hereby authorized to charge any additional fee (or credit any overpayment) associated with this communication to Deposit Account No. 15-0461. Two duplicate copies of this paper are attached.

Respectfully submitted,



James A. Oliff

Registration No. 27,075

John S. Kern

Registration No. 42,719

JAO:JSK/kap

Date: December 11, 2001

**OLIFF & BERRIDGE, PLC**  
**P.O. Box 19928**  
**Alexandria, Virginia 22320**  
**Telephone: (703) 836-6400**

**DEPOSIT ACCOUNT USE  
AUTHORIZATION**

Please grant any extension  
necessary for entry;

Charge any fee due to our  
Deposit Account No. 15-0461